

U.S. SECURITIES AND EXCHANGE COMMISSION  
PUBLIC NOTICE OF VACANCY  
VACANCY ANNOUNCEMENT NUMBER: ESHA-04-155-FB

Opening Date: 09/14/04

Closing Date: 09/27/04

STAFF ACCOUNTANT (SI), SK-0510-16  
(THIS IS A BARGAINING UNIT POSITION)

GRADE/SALARY: SK-16 \$123,982 - \$158,844 annually

PROMOTION POTENTIAL: SK-16

VACANCIES: One

APPOINTMENT/SCHEDULE: Career-Conditional/Full time

LOCATION: Office of Compliance Inspections and Examinations  
Office of the Director  
Washington, DC

\*This vacancy will also be filled under 04-256-FB which is being advertised as an Attorney-Adviser (SI), SK-0905-16.

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This job is open to all U.S. citizens.      Moving expenses will not be paid.      Travel: 6-10 Nights per Month

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**BENEFITS:** SEC provides the following benefits - Thrift Saving Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account (annual reimbursement of certain employee expenses).

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**WHAT WORK WILL YOU PERFORM**

**As a Staff Accountant (SI),**

- Incumbent serves as a Senior Staff Accountant to the Director in the area of broker dealers, trading, markets, and self-regulation.
  - The incumbent identifies potential Examination Program issues within the field of broker dealers and develops strategies for pursuing those issues.
  - Monitors SEC and regulatory developments with the broker dealer program area.
  - Reviews and analyzes information gathered from within and outside the SEC to determine whether events are isolated actions or part of a greater trend meriting further examination or investigation.
  - Interacts formally via written and oral reports with senior management throughout OCIE and the Regional/District Offices regarding examination opportunities and in order to gather information.
  - Directs and conducts special projects that may involve novel or unexplored questions, policy or fact regarding the securities industry and, specifically, the area regarding broker dealers.
  - Prepares reports justifying the need for targeted examinations of potential problem areas.
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**WHAT ARE THE QUALIFICATION REQUIREMENTS**

Candidates must meet all qualification requirements described below. These requirements are in accordance with the U.S. Office of Personnel Management Qualification Standards Handbook.

**Basic Requirements: Candidates must have:**

1. Degree in accounting, business administration, finance, or public administration that included 24 semester hours in accounting and/or auditing subjects, 6 semester hours can be in business law; OR
2. Four or more years of accounting/auditing experience; OR
3. Equivalent combination of accounting experience and college-level education.

**Candidates who meet #2 or #3 above also must have:**

- a) 24 semester hours in accounting/auditing courses (up to 6 semester hours can include business law); OR
- b) Certified Public Accountant or Certified Internal Auditor license obtained through written examinations;  
OR
- c) Completed a degree with at least 15 semester hours in accounting/auditing, provided that the candidate has successfully worked at the full performance level in accounting, auditing, or a related field; **and** have certification from at least two higher level professional accountants or auditors that the candidate's accounting experience equals the knowledge associated with a 4-year accounting/auditing degree.

(See next page for additional job information)

**Specialized Experience:** In addition to meeting the basic requirements candidates must:

Candidates must have at least 52 weeks time-in grade in the federal service at the GS/SK-14 grade level and demonstrate a thorough knowledge of the statutes administered by the Commission as well as the Commission's rules, regulations and overall policies and the operation of the securities markets. Incumbent must have significant experience with at least two of the following four items, all specifically related to securities issues affecting broker dealer examinations only: 1) advising management to ensure the firm's compliance with the Commission's regulations and statutes; 2) directing the investigation of potential violations of federal securities statutes or regulations; 3) drafting/analyzing state/federal legislation regarding actions of broker-dealers within the securities markets; or 4) teaching federal securities courses as a fully credited professor at an accredited four-year college or university or other accredited graduate school.

Private sector candidates must have four full-years of specialized experience, one full-year (52 weeks) at a level of difficulty equivalent to the GS/SK-14 or GS/SK-15.

Current SK-16 level applicants may apply for competitive reassignment.

SEC Supervisors at the SK-15 grade level will not receive a 6% increase in salary upon movement to the SK-16 grade level.

**Substitution of Education:** Not allowed at this grade.

**Interagency Career Transition Assistance Plan (ICTAP):** Current or former career federal employees who meet the requirements above will be evaluated against the following factor to determine if they are well qualified:

- Demonstrated securities-related experience organizing and planning, broker-dealer examinations, reviewing examination reports prepared by staff and reports of financial condition filed by broker dealers, citing deficiencies and making criticisms of accounting and auditing practices; conducting conferences concerning problems. Must have in-depth knowledge and understanding of federal securities laws, the operations and functions rules, regulations, and policies relating to the review or preparation of securities-related financial statements administered under and the SEC.

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Refer to the *EMPLOYMENT GUIDE* below on **HOW TO APPLY** and **WHERE TO SEND APPLICATION**

**EQUAL EMPLOYMENT OPPORTUNITY**

*Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.*

*SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OHR. The decision on granting reasonable accommodations will be on a case-by-case basis.*

**ESHA JOB POSTING  
EMPLOYMENT GUIDE  
U.S. Securities and Exchange Commission  
Office of Human Resources (Mail Stop 0-1)  
6432 General Green Way  
Alexandria, VA 22312**

Read this guide and provide all required information. The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and allows us to evaluate your qualifications for the position.

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

<b>JOB APPLICATION</b>	<ul style="list-style-type: none"> <li>• Apply by submitting a résumé or <i>Optional Application for Federal Employment</i> (OF-612).</li> <li>• Place in the top right corner of <u>each</u> page of your application: job title, grade and job announcement number of the position for which you are applying.</li> <li>• Veterans should provide a copy of a DD-214 verifying honorable military service.</li> <li>• Provide your social security number, name, address, home and office phone numbers.</li> <li>• Applications received in postage-paid Government envelopes <b>will not</b> be considered and are a violation of Federal law and regulation. SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines.</li> </ul>
<b>LEGAL REQUIREMENTS</b>	<ul style="list-style-type: none"> <li>• United States citizenship is required. You <u>must</u> state in your application that you are a U.S. citizen.</li> <li>• Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.</li> </ul>
<b>EDUCATION &amp; TRAINING</b>	<ul style="list-style-type: none"> <li>• List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).</li> <li>• You <u>must</u> submit a copy of your college or university transcript with your application.</li> </ul>
<b>EXPERIENCE</b>	<ul style="list-style-type: none"> <li>• List the job title of your position; name and address of employer; and, supervisor's name and telephone number. <u>You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u></li> <li>• Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.</li> <li>• <b>Indicate whether we may contact your present and previous employers.</b></li> <li>• If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.</li> </ul>
<b>EVALUATION PROCEDURES</b>	<ul style="list-style-type: none"> <li>• A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.</li> </ul>

<b>SPECIAL SELECTION PRIORITY</b>	<ul style="list-style-type: none"> <li>• This applies only to <i>current or former career or career conditional</i> Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).</li> <li>• To receive special selection priority as a Federal employee, you must: (1) attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter and apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) be determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position.</li> <li>• If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.</li> </ul>
<b>FILING A JOB APPLICATION</b>	<p>You may:</p> <ol style="list-style-type: none"> <li>1. Mail your application through the U.S. Postal Service. Mailed applications must be postmarked by the closing date stated on the vacancy announcement.</li> <li>2. Fax your application to the fax phone number listed below and must be received by 5:30 EST on the closing date specified on the vacancy announcement.</li> </ol>
<b>WHERE TO SEND YOUR APPLICATION</b>	<p>U.S. Securities and Exchange Commission Office of Human Resources (Mail Stop 0-1) Attention: DeLisia Carpenter 6432 General Green Way Alexandria, VA 22312 Fax Number: 703-914-0556</p>